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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/682,713	10/09/2001	R. Mukund	17652-00012	3251
23465 7590 02/27/2007 JOHN S. BEULICK C/O ARMSTRONG TEASDALE, LLP ONE METROPOLITAN SQUARE SUITE 2600 ST LOUIS, MO 63102-2740			EXAMINER QUELLETTE, JONATHAN P	
			ART UNIT	PAPER NUMBER
			3629	
SHORTENED STATUTORY PERIOD OF RESPONSE		MAIL DATE	DELIVERY MODE	
3 MONTHS		02/27/2007	PAPER	

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

**Office Action Summary**

Application No.

09/682,713

Applicant(s)

MUKUND, R.

Examiner

Jonathan Ouellette

Art Unit

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 02 November 2006 and 28 November 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-40 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-40 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                     | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____  | 6) <input type="checkbox"/> Other: _____                          |

## DETAILED ACTION

### *Request for Continued Examination*

1. The Request filed on 11/28/06 for Continued Examination (RCE) under 37 CFR 1.114 based on parent Application No. 09/682,713 is acceptable and a RCE has been established. An action on the RCE follows.

### *Claim Rejections - 35 USC § 103*

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:
  - (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.
5. **Claims 1-40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Krishnan et al. (US 2002/0184068 A1).**
6. As per independent Claims 1 and 17, Krishnan discloses a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database and at least one client system (Figs.3-4, Para 0013), said method comprising: receiving CA information at the server from a client system (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016); storing CA information and a plurality of audit checklists within the centralized database (Fig. 11; Para 0022, auditing checklists; Para 0124, reports equivalent to checklists); cross-referencing CA

information (Para 0017); updating the centralized database periodically to maintain CA information (Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displaying on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13-15), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); providing CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information); notifying users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); tracking the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance (Fig.13; Para 0017-0018, track completion of tasks); and transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations (Fig.18, Para 0073).

2. While Krishnan does disclose providing a summary report which indicates active CA tasks (Fig.18), CA task due dates (Fig.18), and weekly status reports for plant managers (Para 0136), Krishnan fails to expressly disclose wherein for each location being managed by the manager the summary report displays: CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due.
3. However, Krishnan does disclose wherein the system is designed to provide a tool to map the status of compliance across multiple company locations, and develop a status report of compliance needs over time (Para 0073), and it would have been obvious to one of ordinary skill at the time the invention was made to include a multitude of various status/completion measurements to effectively communicates compliance work needs/progress to management.
4. Furthermore, these differences are only found in the nonfunctional descriptive data and are not functionally involved in the steps recited. The compliance assurance information system/method would be performed regardless of the type of information included with the summary report – as the specific report information is never used by the user to completed additionally claimed steps. Thus, this descriptive data will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).
5. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have included CA tasks completed year to date, total CA tasks

year to date, percentage of CA tasks completed year to date, and total CA tasks past due in the summary report, because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.

6. As per Claims 2 and 23, Krishnan discloses wherein receiving CA information comprises receiving at least one of business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Figs.8-10, user completes questionnaire - provides business and site information).
7. As per Claim 3, Krishnan discloses wherein cross-referencing CA information further comprises compiling a user schedule using CA information regarding tasks being performed (Figs. 13-18, schedule of tasks/action items).
8. As per Claims 4 and 25, Krishnan discloses wherein cross-referencing CA information further comprises creating a user CA calendar based on at least one of previously created user CA calendars and changes in CA audit tracking information (Para 0122, Fig.13, notifying user of overdue action items).
9. As per Claim 5, Krishnan discloses wherein providing CA information comprises: displaying information to a user identifying at least one of a site location and a CA task to

be performed at a site location; and receiving an inquiry from the client system regarding at least one of a site location and a CA task to be performed at a site location (Fig.15, Worker desktop is location specific).

10. As per Claim 6, Krishnan discloses wherein providing CA information comprises:

displaying information on the client system regarding *at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information*; and receiving an inquiry from the client system regarding at least one of a *site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information* (Figs. 13-15).

11. As per Claim 7, Krishnan discloses wherein providing CA information comprises:

accessing the centralized database; searching the database regarding the specific inquiry; retrieving information from the database; and transmitting the retrieved information to the client system for display by the client system (Fig.14, Inputting location information would retrieve location specific information from database).

12. As per Claim 8, Krishnan discloses wherein providing CA information comprises

providing *at least one of* business information, organizational information, *site information*, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information.

13. As per Claims 9 and 26, Krishnan discloses wherein notifying users comprises transmitting an electronic message to the client system from the server system notifying at least one user of a CA task to be performed and a CA audit tracking task to be performed (Fig.13, key reminders; Fig.14, alerts – web-based communication).
14. As per Claim 18, Krishnan discloses wherein said client system further comprises *at least one of*: a displaying component for displaying at least one of a *pull-down list*, a check box, and *hypertext link options relating to CA audit tracking information and CA scheduling information*; a sending component to send an inquiry to the server system so that the server system can process and download the requested information to the client system; a collection component for collecting CA information from users into the centralized database; a tracking component for tracking CA information; a displaying component for displaying CA information *on at least one site location*; a receiving component for receiving an inquiry from the client system regarding at least one of business information, organizational information, *site information*, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, *CA calendar information*, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information; an accessing component for accessing the centralized database and causing the retrieved information to be displayed on the client system; and a notifying component for electronically notifying users of CA tasks and CA deadlines (Figs. 13-15, Desktop tools).



15. As per Claim 19, Krishnan discloses wherein said server system further comprises a receiving component for receiving an inquiry to provide information from one of a plurality of users (Fig.14, Location information request).
16. As per Claim 20, Krishnan discloses wherein said server system further comprises a processing component for searching and processing received inquiries against the database containing information collected by the collection component, and for cross-referencing at least one of CA calendar information, CA task information, and CA audit tracking information (Fig.14, provided the location specific information).
17. As per Claim 21, Krishnan discloses wherein said server system further comprises a retrieving component to retrieve CA information from the database (Fig.14, retrieving component inherently necessary to provide saved location specific information from a database in a computer-based system).
18. As per Claim 22, Krishnan discloses wherein said server system further comprises an information fulfillment component that downloads the requested information after retrieving from the database (Fig.3, Fig.14, information is downloaded to users computer as part of a web-based system).
19. As per Claim 24, Krishnan discloses wherein said server system further comprises at least one of a receiving component that receives information directly through the client system, and a receiving component that receives information in a pre-determined format established for inputting CA information (Fig.14, request received through user desktop, in drop-down box format).

20. As per **independent Claims 11 and 27**, Krishnan discloses a method for managing, storing, and disseminating compliance assurance (CA) information using a web-based system including a server system coupled to a centralized interactive database (Figs.3-4, Para 0013), at least one managerial user system (Fig.3, Manager Worker, Executive), and at least one client system (Fig. 3, component 300), said method comprising: receiving CA information at the server from a client system (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016), said CA information comprising site information including environmental information, health and safety information, legal information, corporate compliance information, and contacts information (Figs. 8-10 and 14, Para 0022); storing CA information and a plurality of audit checklists within the centralized database (Fig. 11; Para 0022, auditing checklists; Para 0124, reports equivalent to checklists); cross-referencing CA information (Para 0017); updating the centralized database periodically to maintain CA information (Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displaying on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored

within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); providing CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information); notifying users electronically of CA tasks to be performed at a selected location and corresponding CA deadlines (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); tracking the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance (Fig.13; Para 0017-0018, track completion of tasks); and providing an electronic report of the CA tasks to be performed and the CA deadlines to the managerial user system (Fig.18, Para 0073).

21. While Krishnan does disclose providing a summary report which indicates active CA tasks (Fig.18), CA task due dates (Fig.18), and weekly status reports for plant managers (Para 0136), Krishnan fails to expressly disclose wherein for each location being managed by the manager the summary report displays: CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due.
22. However, Krishnan does disclose wherein the system is designed to provide a tool to map the status of compliance across multiple company locations, and develop a status report of compliance needs over time (Para 0073), and it would have been obvious to one of ordinary skill at the time the invention was made to include a multitude of various

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status/completion measurements to effectively communicates compliance work needs/progress to management.

23. Furthermore, these differences are only found in the nonfunctional descriptive data and are not functionally involved in the steps recited. The compliance assurance information system/method would be performed regardless of the type of information included with the summary report – as the specific report information is never used by the user to completed additionally claimed steps. Thus, this descriptive data will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).
24. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have included CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due in the summary report, because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.
25. As per Claims 12 and 29, Krishnan discloses wherein receiving CA information comprises receiving requested information from the client system relating to certain topics including *at least one of* environment, *health and safety*, quality, legal, and *corporate compliance* (Figs.8-10, user completes questionnaire - provides health and safety related information).

26. As per Claims 13 and 30, Krishnan discloses wherein processing at the server comprises using the audit tool to process the CA information to assure compliance with certain laws, rules, regulations, standards, and policies (Para 0016-0017).
27. As per Claims 14 and 31, Krishnan discloses wherein notifying users comprises transmitting an electronic message to the client system from the server system notifying the user of the CA tasks to be performed within a time period shown on the CA calendar such that compliance with certain laws, rules, regulations, standards, and policies relating to certain topics including at least environment, health and safety, quality, legal, and corporate compliance is assured (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information).
28. As per Claims 15 and 32, Krishnan discloses wherein providing an electronic report comprises transmitting an electronic report to the managerial user system from the server system comprising a summary of the CA tasks performed at a site location for a time period shown on the CA calendar such that managerial oversight of the CA information is facilitated and compliance with certain laws, rules, regulations, standards, and policies relating to certain topics including at least one of environment, health and safety, quality, legal, and corporate compliance is assured (Fig.13, Overdue Action Items indicator – equivalent to summary report; Fig.18, Action Item report).
29. As per Claim 28, Krishnan discloses wherein providing CA information comprises: displaying option information on the client system regarding *at least one of a site location, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information* (Figs.13-15); and receiving an inquiry from the client system regarding at

least one of *a site location*, CA calendar, CA audit tracking system, CA audit tool, and CA contacts information (Figs.14).

30. As per **independent Claim 16**, Krishnan discloses a method for manipulating CA information using a web-based system including a server system coupled to a centralized interactive database and at least one client system (Figs.3-4, Para 0013), said method comprising: receiving CA information at the server (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016) comprising business information, organizational information, site information, assigned contact person information, COE/department information, building information, *CA audit tracking information*, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Figs. 8-10 and 14, Para 0022, equivalent information types); storing CA information and a plurality of audit checklists within the centralized database (Fig. 11; Para 0022, auditing checklists; Para 0124, reports equivalent to checklists); updating the centralized database with CA information comprising adding and deleting information so as to revise existing CA information including at least one of CA task information, CA calendar information, and CA audit tracking information (Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displaying on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para

0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of audit checklists stored within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); providing CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information) comprising business information, organizational information, site information, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Figs. 11, 13-15, and 18, Para 0018-0021, system provides equivalent information), in response to an inquiry, including downloading requested information from the server system and displaying requested information on the client system, the inquiry including utilizing at least one pull-down lists, check boxes, and hypertext links (Fig.14); notifying users of CA tasks to be performed at the selected location and the corresponding CA deadlines comprising transmitting an electronic

message to the client system from the server system notifying the user of a CA task to be performed (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); and transmitting a CA task summary report to a manager responsible for managing compliance for a plurality of locations (Fig.18, Para 0073).

31. While Krishnan does disclose providing a summary report which indicates active CA tasks (Fig.18), CA task due dates (Fig.18), and weekly status reports for plant managers (Para 0136), Krishnan fails to expressly disclose wherein for each location being managed by the manager the summary report displays: CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due.
32. However, Krishnan does disclose wherein the system is designed to provide a tool to map the status of compliance across multiple company locations, and develop a status report of compliance needs over time (Para 0073), and it would have been obvious to one of ordinary skill at the time the invention was made to include a multitude of various status/completion measurements to effectively communicates compliance work needs/progress to management.
33. Furthermore, these differences are only found in the nonfunctional descriptive data and are not functionally involved in the steps recited. The compliance assurance information system/method would be performed regardless of the type of information included with the summary report – as the specific report information is never used by the user to completed additionally claimed steps. Thus, this descriptive data will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d



1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).

34. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have included CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due in the summary report, because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.

35. As per **independent Claim 33**, Krishnan discloses a computer program embodied on a computer readable medium for managing, storing, and disseminating CA information (Figs.3-4, Para 0013), said program comprising a code segment that receives CA information and then: maintains a database by adding, deleting and updating CA information (Figs. 7-9, complete questionnaire to determine risk profile and regulation applicability; Para 0016; Para 0077; Fig.4, Para 0128: New Compliance Standards, and Para 0102: Customer information Database updated through cyclical questionnaire process); displays on a client system a compliance calendar option (Fig.13), an audit tracking option (Fig.13, Tracking Action Items), and audit tool option (Para 0124, Para 0124, Fig.13, reports and policies links), wherein the compliance calendar option causes to be displayed on the client system CA tasks to be performed and corresponding CA deadlines for a selected location (Fig.13-15), wherein the audit tracking option prompts the user to input audit information for a selected location (Fig.14), and wherein the audit tool option prompts the user to select at least one audit checklist from the plurality of

audit checklists stored within the database (Para 0124, operations and compliance reports equivalent to checklists); processing at the server an inquiry submitted by the user including a selection of one of the options displayed on the client system (Fig.13, user selects a reports or policies link; or Fig.14, user selects location and period); provides CA information in response to the inquiry (Fig.13, system provides reports for data entry; Fig.14, system provides location specific information); notifies users of CA tasks to be performed at a selected location and corresponding CA deadlines (Fig.15, Today's Tasks, Key Reminders; Fig.18, Due Date; Para 0017, enabling information); tracks the CA tasks to be performed at the selected location and the corresponding CA deadlines to ensure compliance (Fig.13; Para 0017-0018, track completion of tasks); and transmits a CA task summary report to a manager responsible for managing compliance for a plurality of locations (Fig.18, Para 0073).

36. While Krishnan does disclose providing a summary report which indicates active CA tasks (Fig.18), CA task due dates (Fig.18), and weekly status reports for plant managers (Para 0136), Krishnan fails to expressly disclose wherein for each location being managed by the manager the summary report displays: CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due.
37. However, Krishnan does disclose wherein the system is designed to provide a tool to map the status of compliance across multiple company locations, and develop a status report of compliance needs over time (Para 0073), and it would have been obvious to one of ordinary skill at the time the invention was made to include a multitude of various

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status/completion measurements to effectively communicates compliance work needs/progress to management.

38. Furthermore, these differences are only found in the nonfunctional descriptive data and are not functionally involved in the steps recited. The compliance assurance information system/method would be performed regardless of the type of information included with the summary report – as the specific report information is never used by the user to completed additionally claimed steps. Thus, this descriptive data will not distinguish the claimed invention from the prior art in terms of patentability, *see In re Gulack*, 703 F.2d 1381, 1385, 217 USPQ 401, 404 (Fed. Cir. 1983); *In re Lowry*, 32 F.3d 1579, 32 USPQ2d 1031 (Fed. Cir. 1994).
39. Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to have included CA tasks completed year to date, total CA tasks year to date, percentage of CA tasks completed year to date, and total CA tasks past due in the summary report, because such data does not functionally relate to the steps in the method claimed and because the subjective interpretation of the data does not patentably distinguish the claimed invention.
40. As per Claim 34, discloses a code segment that provides at least one of: an option to filter CA calendars based on *at least one of site information*, CA task type, assigned contact person, and time frame (*Fig. 15, site specific calendar*); an option to filter CA audit tracking system based on at least one of *site information*, CA task type, assigned contact person, and *time frame* (*Fig. 18*); and an option to filter CA audit tool system based on at

least one of *site information*, CA task type, assigned contact person, and *time frame* (Fig.15, *Site Specific tracking of tasks*).

41. As per Claim 35, discloses a code segment that generates a display of *at least one of* business information, organizational information, *site information*, assigned contact person information, COE/department information, building information, CA audit tracking information, CA task information, CA calendar information, CA task reminder information, frequency of reminder information, environmental information, health and safety information, quality information, legal information, human resources information, management information, and corporate compliance information (Fig.14).
42. As per Claim 36, Krishnan discloses a code segment that accesses said database; a code segment that searches said database in response to an inquiry; a code segment that retrieves information from said database; a code segment that causes retrieved information to be displayed on a client system (Fig.14); a code segment that notifies a user of CA tasks and CA deadlines (Fig.13); and a code segment that causes a report summarizing the CA tasks and the CA deadlines for a site location to be displayed on a managerial user system (Fig.18).
43. As per Claim 37, Krishnan discloses a code segment that monitors the security of the system by restricting access to authorized individuals (Para 0068, network security).
44. As per Claim 38, Krishnan discloses a code segment that cross-references said CA calendar when a CA task is performed (Fig.13, system determines if Action Items are overdue).

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45. As per Claim 39, Krishnan discloses a code segment that cross-references said CA calendar to at least one previously created CA calendar when CA information is received (Para 0122, Fig.13, notifying user of overdue action items).
46. As per Claim 40, Krishnan discloses a code segment that cross-references said CA calendar with said CA audit tracking system information (Para 0122, Fig.13, notifying user of overdue action items).

***Response to Arguments***

47. Applicant's arguments filed 11/28/2006, with respect to Claims 1-40, have been considered but are moot in view of the new ground(s) of rejection.

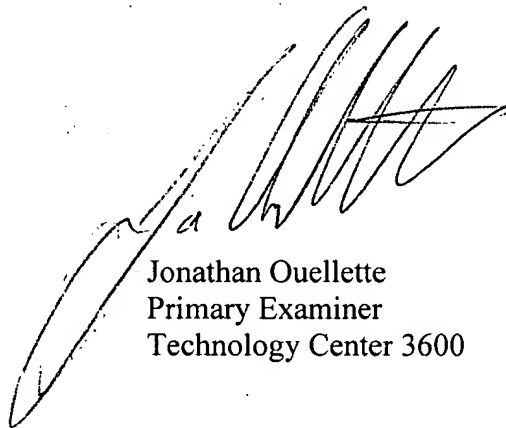
***Conclusion***

48. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jonathan Ouellette whose telephone number is (571) 272-6807. The examiner can normally be reached on Monday through Thursday, 8am - 5:00pm.
49. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Weiss can be reached on (571) 272-6812. The fax phone numbers for the organization where this application or proceeding is assigned (571) 273-8300 for all official communications.

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50. Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the Office of Initial Patent Examination whose telephone number is (703) 308-1202.

February 10, 2007



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